

3. Restrict access to the information to the maximum extent possible until you are informed that the information is not classified, but no longer than 30 days after receipt by the Director, Office of Classification and Information Control
- c. If the Awardee originates information concerning the production or utilization of special nuclear material (i.e., plutonium, uranium enriched in the isotope 233 or 235, and any other material so determined under section 51 of the Atomic Energy Act) or nuclear energy, the Awardee must:
 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award.
 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P. O. Box A; Germantown, MD 20875-0963 for classification review within 180 days of the date the Awardee first discovers or first has reason to believe that the information is useful in such production or utilization.
 3. Restrict access to the information to the maximum extent possible until the Awardee is informed that the information is not classified, but no longer than 90 days after receipt by the Director, Office of Classification and Information Control.
- d. If DOE determines any of the information requires classification, the Awardee agrees that DOE may terminate the award by mutual agreement in accordance with 10 CFR 600.25(d). All material deemed to be classified must be forwarded to DOE, in a manner specified by DOE.
- e. If DOE does not respond within the specified time periods, the Awardee is under no further obligation to restrict access to the information.

15. LOBBYING RESTRICTIONS

By accepting funds under this award, the Awardee agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

16. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

17. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

- a. The Awardee shall immediately notify the DOE Administrator identified in Block 12 of the Notice of Financial Assistance Award of the occurrence of any of the following events: (i) the Awardee or its parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) the Awardee's consent to the institution of an involuntary case under the Bankruptcy Act against the Awardee or its parent; (iii) the filing of any similar proceeding for or against the Awardee or its parent, or its consent to the dissolution, winding-up or readjustment of its debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over the Awardee, under any other applicable state or federal law; or (iv) the Awardee's insolvency due to its inability to pay debts generally as they become due.
- b. Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph (a); (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.
- c. Upon the occurrence of any of the four events described in the paragraph a. of this provision, DOE reserves the right to conduct a review to determine Awardee compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If a DOE review determines that there are significant deficiencies or concerns with Awardee performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) a change of payment method; or (ii) institution of payment controls.
- d. Failure of the Recipient to comply with this provision may be considered a material noncompliance of this financial assistance award by the Contracting Officer.

18. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

The Awardee is restricted from taking any action using DOE funds which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding this project. Prohibited actions include restrictions on taking any action using federal funds, which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding the project. Other prohibited actions include all task and activities in Budget Period 2. This restriction does not preclude you from all tasks and activities in Budget Period 1.

If the Awardee moves forward with activities that are not authorized for federal funding by the DOE Contracting Officer in advance of the final NEPA decision, the Awardee is doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

If this award includes construction activities, the Awardee must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to DOE initiating the NEPA process.

19. SUBCONTRACT APPROVALS

- a. At Risk Notice: The Recipient must obtain written approval by the Contracting Officer for reimbursement of costs associated with subcontractors/activities listed in paragraph b. below. No funds shall be expended on the subcontracts supporting the tasks identified in paragraph b. below unless DOE approval is provided. DOE does not guarantee or assume any obligation to reimburse costs incurred by the Recipient or subcontractor for these tasks, until approval is provided in writing by the Contracting Officer.
- b. Contracting Officer approval as set out above is requested for the following:

<u>Subcontractor</u>	<u>Activity</u>	<u>Total Amount (\$)</u>
REDACTED EXEMPTION 4	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4
REDACTED EXEMPTION 4	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4

The DOE Contracting Officer may require additional information concerning these tasks prior to providing written approval.

- c. Upon written approval by the Contracting Officer, the Recipient may then receive payment for the subs identified in paragraph b. above for allowable indirect costs incurred, or DOE will recognize costs incurred toward cost share requirements, if any, in accordance with the payment provisions contained in the Special Terms and Conditions of this agreement.

**SPECIAL TERMS AND CONDITIONS
JULY 2008**

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1. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award, as shown in Block 18 of the Notice of Financial Assistance Award (NFAA) must be referred to the DOE Award Administrator identified in Block 12 of the NFAA for guidance.

2. PAYMENT PROCEDURES

- a. Method of Payment. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- b. Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. Requests for reimbursement should coincide with the Awardee's normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- c. Adjusting payment requests for available cash. The Awardee must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.
- d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

3. INCREMENTAL FUNDING AND MAXIMUM OBLIGATION

If at any time during the award a budget period is funded on an incremental basis, the maximum obligation of the DOE is limited to the amount shown in Block 16.b.(3) "CUMULATIVE DOE OBLIGATIONS Project Period to Date" on the Notice of Financial Assistance Award. The Awardee is not obligated to continue performance of the project beyond the total amount shown in Block 16.b.(3) and its pro rata share of the project costs, if cost share is required. Subject to the availability of additional funds, DOE anticipates obligating the total amount shown in Block 16.a.(4) for the current budget period.

4. COST SHARE

- a. Total Estimated Project Cost is the sum of the DOE share and Awardee share of the estimated project costs. The Awardee's cost share must derive from non-Federal sources unless otherwise allowed by law. By accepting federal funds under this award, the Awardee agrees to be responsible for its percentage share of total allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion. This cost is shared as follows:

Budget Period No.	Budget Period Start Date	DOE Cost Share \$ / %	Awardee Cost Share \$ / %	Total Estimated Costs
1	9/15/2008	0	REDACTED	REDACTED
2	9/15/2009	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4
Total Project				

- b. If the Awardee is unable to provide cost share of the amount identified in paragraph a of this article, the Awardee shall notify the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award, indicating whether you will continue or phase out the project. If the project will continue, the notification must describe how replacement cost share will be secured.
- c. The Awardee must maintain records of all project costs that are claimed as cost share, including in-kind costs, as well as records of costs to be paid by DOE. Such records are subject to audit.
- d. Failure to provide the cost share required by this Article may result in the subsequent recovery by DOE of some or all the funds provided under the award.

5. REBUDGETING AND RECOVERY OF INDIRECT COSTS

- a. If actual allowable indirect charges are less than those budgeted and funded under the award, the Awardee may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award DOE's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, the Awardee must refund the difference.
- b. Awardees are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates (See "Incremental Funding and Maximum Obligation" article). DOE recognizes that the inability to obtain full reimbursement for indirect costs means the Awardee must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost share.
- c. The budget for this award includes indirect and labor costs that incorporate a fringe benefit cost component, but does not include fringe benefits as a directly chargeable item. Therefore, fringe benefit costs shall not be directly charged to this project. This restriction does not apply to subawardees' fringe benefits.
- d. The recipient shall not be reimbursed on this project for any final indirect costs that are in excess of the following specified amounts, unless the recipient receives written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. In addition, the recipient shall neither count costs in excess of the stated specific amount as cost share, nor allocate such costs to other federally sponsored project, unless approved by the Contracting Officer. In accordance with FAR 31.109, the prime recipient will be reimbursed for Indirect Costs of \$303,977, plus or minus 10%. For any amount over or under 10% of \$303,977, the recipient will require written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. This restriction does not apply to subawardees' indirect costs.

Contracting Officer for revisions in indirect costs for this project that exceed +/-10% of \$303,977. This restriction does not apply to subawardees' indirect costs.

6. ADVANCE UNDERSTANDING CONCERNING LIMITATION OF SUBCONTRACTOR INDIRECT AND FRINGE BENEFIT COSTS FOR LOCKHEED-MARTIN ADVANCED TECHNOLOGY CENTER

The prime recipient shall not be reimbursed for subcontractor final indirect or fringe costs for Lockheed-Martin Advanced Technology Center (LM-ATC) that are in excess of the following specified amounts, unless the prime recipient receives written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. In accordance with FAR 31.109, LM-ATC is entitled to be reimbursed for Fringe Benefits up to \$248,176 and Indirect Costs up to \$655,532, plus or minus 10%. In accordance with 10 CFR 600.315(d)(1), the recipient must obtain prior written approval and/or a notice of revised negotiated Indirect or Fringe Benefit Costs from the Contracting Officer for revisions in indirect costs for this project that exceed +/-10% of \$248,176 or fringe benefit costs that exceed +/-10% of \$655,532.

7. STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

8. STATEMENT OF SUBSTANTIAL INVOLVEMENT

DOE, in its project management oversight role for the Hydropower Technologies Program, will work closely with Lockheed Martin Corporation, including attending multiple project site visits and planning meetings, in order to assure the optimal overall performance of the project toward meeting DOE's programmatic goals. Also, the proposed scope of the project includes Ocean Thermal Energy Conversion (OTEC), which is a technology of particular importance to DOE. DOE will closely monitor the progress of this technology.

9. SITE VISITS

DOE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. The Awardee must provide, and must require its subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

10. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.
- b. Dissemination of scientific/technical reports. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).
- c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

11. PUBLICATIONS

- a. The Awardee is encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:
Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

12. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

The Awardee must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

13. INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

The intellectual property provisions applicable to this award are provided as an attachment to this award. Questions regarding intellectual property matters should be referred to the DOE Patent Counsel for the Golden Field Office, Julia Moody, who may be reached at 303-275-4867 or Julia.moody@go.doe.gov.

14. CONTINUATION APPLICATION AND FUNDING

- a. Continuation Application. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least 90 days before the end of each budget period, the Awardee must submit a continuation application to the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award. This application must include the following information:
 1. A report on Awardee progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, an explanation of why the excess funds have not been obligated and how they will be used in the next budget period must be included.
 2. A detailed budget and supporting justification for the upcoming budget period if additional funds are requested, a reduction of funds is anticipated, or a budget for the upcoming budget period was not approved at the time of award.
 3. A description of Awardee plans for the conduct of the project during the upcoming budget period, if there are changes from the DOE approved application.
- b. Continuation Funding. Continuation funding is contingent on (1) availability of funds; (2) A DOE determination that the Awardee has made substantial progress towards meeting the objectives of the approved application; (3) submittal of required reports; and/or (4) compliance with the terms and conditions of the award; and (5) DOE's determination that successful land-based fabrication of the prototype Cold Water Pipe (CWP) milestone has been achieved.

15. NATIONAL SECURITY: CLASSIFIABLE RESULTS ORIGINATING UNDER AN AWARD

- a. This award is intended for unclassified, publicly releasable research. The Awardee will not be granted access to classified information. DOE does not expect that the results of the research

project will involve classified information. Under certain circumstances, however, a classification review of information originated under the award may be required. The Department may review research work generated under this award at any time to determine if it requires classification.

- b. Executive Order 12958 (60 Fed. Reg. 19,825 (1995)) states that basic scientific research information not clearly related to the national security shall not be classified. Nevertheless, some information concerning (among other things) scientific, technological, or economic matters relating to national security or cryptology may require classification. If the Awardee originates information during the course of this award that is believed to require classification, the Awardee must promptly:
 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award;
 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P.O. Box A; Germantown, MD 20875-0963, for classification review.
 3. Restrict access to the information to the maximum extent possible until you are informed that the information is not classified, but no longer than 30 days after receipt by the Director, Office of Classification and Information Control
- c. If the Awardee originates information concerning the production or utilization of special nuclear material (i.e., plutonium, uranium enriched in the isotope 233 or 235, and any other material so determined under section 51 of the Atomic Energy Act) or nuclear energy, the Awardee must:
 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award.
 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P. O. Box A; Germantown, MD 20875-0963 for classification review within 180 days of the date the Awardee first discovers or first has reason to believe that the information is useful in such production or utilization.
 3. Restrict access to the information to the maximum extent possible until the Awardee is informed that the information is not classified, but no longer than 90 days after receipt by the Director, Office of Classification and Information Control.
- d. If DOE determines any of the information requires classification, the Awardee agrees that DOE may terminate the award by mutual agreement in accordance with 10 CFR 600.25(d). All material deemed to be classified must be forwarded to DOE, in a manner specified by DOE.
- e. If DOE does not respond within the specified time periods, the Awardee is under no further obligation to restrict access to the information.

16. LOBBYING RESTRICTIONS

By accepting funds under this award, the Awardee agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

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It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

18. INSOLVENCY, BANKRUPTCY OR RECEIVERSHIP

- a. The Awardee shall immediately notify the DOE Administrator identified in Block 12 of the Notice of Financial Assistance Award of the occurrence of any of the following events: (i) the Awardee or its parent's filing of a voluntary case seeking liquidation or reorganization under the Bankruptcy Act; (ii) the Awardee's consent to the institution of an involuntary case under the Bankruptcy Act against the Awardee or its parent; (iii) the filing of any similar proceeding for or against the Awardee or its parent, or its consent to the dissolution, winding-up or readjustment of its debts, appointment of a receiver, conservator, trustee, or other officer with similar powers over the Awardee, under any other applicable state or federal law; or (iv) the Awardee's insolvency due to its inability to pay debts generally as they become due.
- b. Such notification shall be in writing and shall: (i) specifically set out the details of the occurrence of an event referenced in paragraph (a); (ii) provide the facts surrounding that event; and (iii) provide the impact such event will have on the project being funded by this award.
- c. Upon the occurrence of any of the four events described in the paragraph a. of this provision, DOE reserves the right to conduct a review to determine Awardee compliance with the required elements of the award (including such items as cost share, progress towards technical project objectives, and submission of required reports). If a DOE review determines that there are significant deficiencies or concerns with Awardee performance under the award, DOE reserves the right to impose additional requirements, as needed, including (i) a change of payment method; or (ii) institution of payment controls.
- d. Failure of the Recipient to comply with this provision may be considered a material noncompliance of this financial assistance award by the Contracting Officer.

19. NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) REQUIREMENTS

The Awardee is restricted from taking any action using DOE funds which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding this project. Prohibited actions include restrictions on taking any action using federal funds, which would have an adverse affect on the environment or limit the choice of reasonable alternatives prior to DOE providing either a NEPA clearance or a final NEPA decision regarding the project. Other prohibited actions include all task and activities in Budget Period 2. This restriction does not preclude you from all tasks and activities in Budget Period 1.

If the Awardee moves forward with activities that are not authorized for federal funding by the DOE Contracting Officer in advance of the final NEPA decision, the Awardee is doing so at risk of not receiving federal funding and such costs may not be recognized as allowable cost share.

If this award includes construction activities, the Awardee must submit an environmental evaluation report/evaluation notification form addressing NEPA issues prior to DOE initiating the NEPA process.

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1. RESOLUTION OF CONFLICTING CONDITIONS

Any apparent inconsistency between Federal statutes and regulations and the terms and conditions contained in this award, as shown in Block 18 of the Notice of Financial Assistance Award (NFAA) must be referred to the DOE Award Administrator identified in Block 12 of the NFAA for guidance.

2. PAYMENT PROCEDURES

- a. Method of Payment. Payment will be made by reimbursement through the Department of Treasury's ASAP system.
- b. Requesting Reimbursement. Requests for reimbursements must be made through the ASAP system. Requests for reimbursement should coincide with the Awardee's normal billing pattern, but not more frequently than every two weeks. Each request must be limited to the amount of disbursements made for the federal share of direct project costs and the proportionate share of allowable indirect costs incurred during that billing period.
- c. Adjusting payment requests for available cash. The Awardee must disburse any funds that are available from repayments to and interest earned on a revolving fund, program income, rebates, refunds, contract settlements, audit recoveries, credits, discounts, and interest earned on any of those funds before requesting additional cash payments from DOE.
- d. Payments. All payments are made by electronic funds transfer to the bank account identified on the ASAP Bank Information Form that you filed with the U.S. Department of Treasury.

3. INCREMENTAL FUNDING AND MAXIMUM OBLIGATION

If at any time during the award a budget period is funded on an incremental basis, the maximum obligation of the DOE is limited to the amount shown in Block 16.b.(3) "CUMULATIVE DOE OBLIGATIONS Project Period to Date" on the Notice of Financial Assistance Award. The Awardee is not obligated to continue performance of the project beyond the total amount shown in Block 16.b.(3) and its pro rata share of the project costs, if cost share is required. Subject to the availability of additional funds, DOE anticipates obligating the total amount shown in Block 16.a.(4) for the current budget period.

4. COST SHARE

- a. Total Estimated Project Cost is the sum of the DOE share and Awardee share of the estimated project costs. The Awardee's cost share must derive from non-Federal sources unless otherwise allowed by law. By accepting federal funds under this award, the Awardee agrees to be responsible for its percentage share of total allowable project costs, on a budget period basis, even if the project is terminated early or is not funded to its completion. This cost is shared as follows:

Budget Period No.	Budget Period Start Date	DOE Cost Share \$ / %	Awardee Cost Share \$ / %	Total Estimated Costs
1	9/15/2008			
2	3/15/2010	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4	REDACTED EXEMPTION 4
Total Project				

- b. If the Awardee is unable to provide cost share of the amount identified in paragraph a of this article, the Awardee shall notify the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award, indicating whether you will continue or phase out the project. If the project will continue, the notification must describe how replacement cost share will be secured.
- c. The Awardee must maintain records of all project costs that are claimed as cost share, including in-kind costs, as well as records of costs to be paid by DOE. Such records are subject to audit.
- d. Failure to provide the cost share required by this Article may result in the subsequent recovery by DOE of some or all the funds provided under the award.

5. REBUDGETING AND RECOVERY OF INDIRECT COSTS

- a. If actual allowable indirect charges are less than those budgeted and funded under the award, the Awardee may use the difference to pay additional allowable direct costs during the project period. If at the completion of the award DOE's share of total allowable costs (i.e., direct and indirect), is less than the total costs reimbursed, the Awardee must refund the difference.
- b. Awardees are expected to manage their indirect costs. DOE will not amend an award solely to provide additional funds for changes in indirect cost rates (See "Incremental Funding and Maximum Obligation" article). DOE recognizes that the inability to obtain full reimbursement for indirect costs means the Awardee must absorb the underrecovery. Such underrecovery may be allocated as part of the organization's required cost share.
- c. The budget for this award includes indirect and labor costs that incorporate a fringe benefit cost component, but does not include fringe benefits as a directly chargeable item. Therefore, fringe benefit costs shall not be directly charged to this project. This restriction does not apply to subawardees' fringe benefits.
- d. The recipient shall not be reimbursed on this project for any final indirect costs that are in excess of the following specified amounts, unless the recipient receives written approval and/or a notice of revised negotiated Indirect Costs from the Contracting Officer. In addition, the recipient shall not allocate such costs to other federally sponsored project, unless approved by the Contracting Officer. In accordance with FAR 31.109, the prime recipient is entitled to be reimbursed for Indirect Costs up to \$303,977, plus or minus 10%. In accordance with 10 CFR 600.315(d)(1), the recipient must obtain prior written approval and/or a notice of revised negotiated Indirect Costs from the

6. STATEMENT OF FEDERAL STEWARDSHIP

DOE will exercise normal Federal stewardship in overseeing the project activities performed under this award. Stewardship activities include, but are not limited to, conducting site visits; reviewing performance and financial reports; providing technical assistance and/or temporary intervention in unusual circumstances to correct deficiencies which develop during the project; assuring compliance with terms and conditions; and reviewing technical performance after project completion to ensure that the award objectives have been accomplished.

7. STATEMENT OF SUBSTANTIAL INVOLVEMENT

DOE, in its project management oversight role for the Hydropower Technologies Program, will work closely with Lockheed Martin Corporation, including attending multiple project site visits and planning meetings, in order to assure the optimal overall performance of the project toward meeting DOE's programmatic goals. Also, the proposed scope of the project includes Ocean Thermal Energy Conversion (OTEC), which is a technology of particular importance to DOE. DOE will closely monitor the progress of this technology.

8. SITE VISITS

DOE's authorized representatives have the right to make site visits at reasonable times to review project accomplishments and management control systems and to provide technical assistance, if required. The Awardee must provide, and must require its subawardees to provide, reasonable access to facilities, office space, resources, and assistance for the safety and convenience of the government representatives in the performance of their duties. All site visits and evaluations must be performed in a manner that does not unduly interfere with or delay the work.

9. REPORTING REQUIREMENTS

- a. Requirements. The reporting requirements for this award are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to this award. Failure to comply with these reporting requirements is considered a material noncompliance with the terms of the award. Noncompliance may result in withholding of future payments, suspension or termination of the current award, and withholding of future awards. A willful failure to perform, a history of failure to perform, or unsatisfactory performance of this and/or other financial assistance awards, may also result in a debarment action to preclude future awards by Federal agencies.
- b. Dissemination of scientific/technical reports. Scientific/technical reports submitted under this award will be disseminated on the Internet via the DOE Information Bridge (www.osti.gov/bridge), unless the report contains patentable material, protected data or SBIR/STTR data. Citations for journal articles produced under the award will appear on the DOE Energy Citations Database (www.osti.gov/energycitations).

- c. Restrictions. Reports submitted to the DOE Information Bridge must not contain any Protected Personal Identifiable Information (PII), limited rights data (proprietary data), classified information, information subject to export control classification, or other information not subject to release.

10. PUBLICATIONS

- a. The Awardee is encouraged to publish or otherwise make publicly available the results of the work conducted under the award.
- b. An acknowledgment of DOE support and a disclaimer must appear in the publication of any material, whether copyrighted or not, based on or developed under this project, as follows:
Acknowledgment: "This material is based upon work supported by the Department of Energy [National Nuclear Security Administration] [add name(s) of other agencies, if applicable] under Award Number(s) [enter the award number(s)]."

Disclaimer: "This report was prepared as an account of work sponsored by an agency of the United States Government. Neither the United States Government nor any agency thereof, nor any of their employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by trade name, trademark, manufacturer, or otherwise does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof."

11. FEDERAL, STATE, AND MUNICIPAL REQUIREMENTS

The Awardee must obtain any required permits and comply with applicable federal, state, and municipal laws, codes, and regulations for work performed under this award.

12. INTELLECTUAL PROPERTY PROVISIONS AND CONTACT INFORMATION

The intellectual property provisions applicable to this award are provided as an attachment to this award. Questions regarding intellectual property matters should be referred to the DOE Patent Counsel for the Golden Field Office, Julia Moody, who may be reached at 303-275-4867 or Julia.moody@go.doe.gov.

13. CONTINUATION APPLICATION AND FUNDING

- a. *Continuation Application*. A continuation application is a non-competitive application for an additional budget period within a previously approved project period. At least 90 days before the

end of each budget period, the Awardee must submit a continuation application to the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award. This application must include the following information:

1. A report on Awardee progress towards meeting the objectives of the project, including any significant findings, conclusions, or developments, and an estimate of any unobligated balances remaining at the end of the budget period. If the remaining unobligated balance is estimated to exceed 20 percent of the funds available for the budget period, an explanation of why the excess funds have not been obligated and how they will be used in the next budget period must be included.
 2. A detailed budget and supporting justification for the upcoming budget period if additional funds are requested, a reduction of funds is anticipated, or a budget for the upcoming budget period was not approved at the time of award.
 3. A description of Awardee plans for the conduct of the project during the upcoming budget period, if there are changes from the DOE approved application.
- b. Continuation Funding. Continuation funding is contingent on (1) availability of funds; (2) A DOE determination that the Awardee has made substantial progress towards meeting the objectives of the approved application; (3) submittal of required reports; and/or (4) compliance with the terms and conditions of the award; and (5) DOE's determination that successful land-based fabrication of the prototype Cold Water Pipe (CWP) milestone has been achieved.

14. NATIONAL SECURITY: CLASSIFIABLE RESULTS ORIGINATING UNDER AN AWARD

- a. This award is intended for unclassified, publicly releasable research. The Awardee will not be granted access to classified information. DOE does not expect that the results of the research project will involve classified information. Under certain circumstances, however, a classification review of information originated under the award may be required. The Department may review research work generated under this award at any time to determine if it requires classification.
- b. Executive Order 12958 (60 Fed. Reg. 19,825 (1995)) states that basic scientific research information not clearly related to the national security shall not be classified. Nevertheless, some information concerning (among other things) scientific, technological, or economic matters relating to national security or cryptology may require classification. If the Awardee originates information during the course of this award that is believed to require classification, the Awardee must promptly:
 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award;
 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P.O. Box A; Germantown, MD 20875-0963, for classification review.

3. Restrict access to the information to the maximum extent possible until you are informed that the information is not classified, but no longer than 30 days after receipt by the Director, Office of Classification and Information Control
- c. If the Awardee originates information concerning the production or utilization of special nuclear material (i.e., plutonium, uranium enriched in the isotope 233 or 235, and any other material so determined under section 51 of the Atomic Energy Act) or nuclear energy, the Awardee must:
 1. Notify the DOE Project Officer identified in Block 11 and the DOE Award Administrator identified in Block 12 of the Notice of Financial Assistance Award.
 2. Submit the information by registered mail directly to the Director, Office of Classification and Information Control, SO-10.2; U.S. Department of Energy; P. O. Box A; Germantown, MD 20875-0963 for classification review within 180 days of the date the Awardee first discovers or first has reason to believe that the information is useful in such production or utilization.
 3. Restrict access to the information to the maximum extent possible until the Awardee is informed that the information is not classified, but no longer than 90 days after receipt by the Director, Office of Classification and Information Control.
- d. If DOE determines any of the information requires classification, the Awardee agrees that DOE may terminate the award by mutual agreement in accordance with 10 CFR 600.25(d). All material deemed to be classified must be forwarded to DOE, in a manner specified by DOE.
- e. If DOE does not respond within the specified time periods, the Awardee is under no further obligation to restrict access to the information.

15. LOBBYING RESTRICTIONS

By accepting funds under this award, the Awardee agrees that none of the funds obligated on the award shall be expended, directly or indirectly, to influence congressional action on any legislation or appropriation matters pending before Congress, other than to communicate to Members of Congress as described in 18 U.S.C. 1913. This restriction is in addition to those prescribed elsewhere in statute and regulation.

16. NOTICE REGARDING THE PURCHASE OF AMERICAN-MADE EQUIPMENT AND PRODUCTS -- SENSE OF CONGRESS

It is the sense of the Congress that, to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American-made.

U.S. Department of Energy

Memorandum To File

DATE: August 13, 2009
FROM: Curtis Framel
SUBJECT: Award/Amendment No. DE-FG36-08GO18172, A001

Procurement Request Number: 36-08GO18172.001

Recipient: REDACTED
EXEMPTION 4

Action: The purpose of this amendment is to continue this award by approving Budget Period 2 and making it coextensive with Budget Period 1. Therefore, the award will now reflect 2 budget periods. All budget periods and costs for this award were negotiated and approved in Amendment A000. An award debrief meeting was held August 13th, 2009 to discuss an up-to-date overview of the project. The awardee discussed _____. A cost analysis was not performed on this continuation as no changes to the budget were proposed. In addition, this amendment provides incremental funding in the amount of REDACTED EXEMPTION 4 and revises the Federal Reporting Checklist and Instructions for the award. The signed Award Agreement constitutes the Contracting Officer's approval of this action. All other terms and conditions of this award remain unchanged.



TPS Financial Assistance Application

Sensitive Information

Sensitive Information

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Financial Assistance Application

Bid/Solicitation Number: DE-PS36-08G098030

Title: Advanced Water Power Projects

Submission Due Date: 06/16/2008 : 11:59 PM

Attachment Post Date: 06/15/2008 10:41:35 AM EDT

Subject: Advanced Composite OTEC Cold Water Pipe

Company Name: Lockheed Martin Corporation

Street Address 1: 9500 Godwin Drive

Street Address 2:

City: Manassas

State: VA: Virginia

Zip: 20110

Contractor Contact Name: Mr. Peter Krone

Contact Phone Number: 703-367-5301

Contact E-mail: peter.krone@lmco.com

Full Announcement & Other Files

Form Other-V1.1.pdf	2 KB
Form SF424-V2.0.pdf	10 KB
Form SFL11-V1.1.pdf	5 KB
GRANT00476951.dxl	2 KB
GrantApplication.xml	11 KB
OtherNarrativeAttachments-Attachments-3677-Lockheed Martin ENV.pdf	1409 KB
OtherNarrativeAttachments-Attachments-4353-BudgetJustification.pdf	14445 KB
OtherNarrativeAttachments-Attachments-4643-Mandatory Project.pdf	2465 KB
OtherNarrativeAttachments-Attachments-7366-SF424A.xls	53 KB
OtherNarrativeAttachments-Attachments-7507-Summary.pdf	120 KB
OtherNarrativeAttachments-Attachments-9229-Lockheed Martin EF1.pdf	Individual file sizes will only be displayed for the first 10 attachments
OtherNarrativeAttachments-Attachments-9331-Resume.pdf	
SF424-3700-Congressional Districts.pdf	
Total:	20.1 MB

Time Stamp Information

Submission Start Time: 04/15/2008
Submission End Time: 06/15/2008 10:41:35 AM EDT
Late Proposal? No

Other Attachment File(s)

FileName	MimeType
4643-Mandatory_Project.pdf	application/pdf
7507-Summary.pdf	application/pdf
9331-Resume.pdf	application/pdf
7366-SF424A.xls	application/vnd.ms-excel
4353-BudgetJustification.pdf	application/pdf
3677-Lockheed_Martin_ENV.pdf	application/pdf
9229-Lockheed_Martin_EF1.pdf	application/pdf

Version 02

Application for Federal Assistance SF-424

* 1. Type of Submission: <input type="radio"/> Preapplication <input checked="" type="radio"/> Application <input type="radio"/> Changed/Corrected Application		* 2. Type of Application: <input checked="" type="radio"/> New <input type="radio"/> Continuation <input type="radio"/> Revision		* If Revision, select appropriate letter(s): <input type="text"/> * Other (Specify) <input type="text"/>	
* 3. Date Received: 06/15/2008		4. Applicant Identifier: <input type="text"/>			
5a. Federal Entity Identifier: <input type="text"/>			* 5b. Federal Award Identifier: <input type="text"/>		
State Use Only:					
6. Date Received by State: <input type="text"/>		7. State Application Identifier: <input type="text"/>			
8. APPLICANT INFORMATION:					
* a. Legal Name: Lockheed Martin Corporation					
* b. Employer/Taxpayer Identification Number (EIN/TIN): 52-1893632			* c. Organizational DUNS: 019710586		
d. Address:					
* Street1: 9500 Godwin Drive					
Street2: <input type="text"/>					
* City: Manassas					
County: <input type="text"/>					
* State: VA: Virginia					
Province: <input type="text"/>					
* Country: USA: UNITED STATES					
* Zip / Postal Code: 20110					
e. Organizational Unit:					
Department Name: Undersea Systems			Division Name: Maritime Systems & Sensors		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix: Mr.		* First Name: Peter			
Middle Name: <input type="text"/>		<input type="text"/>			
* Last Name: Krone		<input type="text"/>			
Suffix: <input type="text"/>		<input type="text"/>			
Title: Senior Manager, Contracts					
Organizational Affiliation: Lockheed Martin Corporation					
* Telephone Number: 703-367-5301			Fax Number: 703-367-4942		
* Email: peter.krone@lmco.com					

Version 02

Application for Federal Assistance SF-424

9. Type of Applicant 1: Select Applicant Type:

☒ For-Profit Organization (Other than Small Business)

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

*** 10. Name of Federal Agency:**

Golden Field Office

11. Catalog of Federal Domestic Assistance Number:

81.087

CFDA Title:

Renewable Energy Research and Development

*** 12. Funding Opportunity Number:**

DE-PS36-08GO98030

* Title:

Advanced Water Power Projects

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

City of Manassas, Prince William County, VA; City of San Jose, Santa Clara County, CA City of Sunnyvale, Santa Clara County, CA City of Morgantown, Monangalia County, WV City of Summersvill, Nicholas County, WV City of Kailua, Honolulu County, HI

*** 15. Descriptive Title of Applicant's Project:**

Advanced Composite OTEC Cold Water Pipe Project

Attach supporting documents as specified in agency instructions.

16. Congressional Districts Of:

* b. Program/Project: VA-010

3700-Congressional_Districts.pdf

* b. End Date: 09/30/2010

18. Estimated Funding (\$):

* a. Federal	REDACTED
* b. Applicant	EXEMPTION
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	REDACTED EXEMPTION

* 19. Is Application Subject to Review By State Chapter 12372 Process for review on

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on

- ☐ a. This application was made in error.
- ☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☒ c. Program is not covered by E.O. 12372.

☐ Yes ☒ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ ** I AGREE

☒ **** I AGREE**

**** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.**

Authorized Representative:

* First Name: Peter

* Last Name: Krone

* Title: Senior Manager, Contracts

* Email: peter.krone@lmco.com

* Signature of Authorized Representative: Peter Krone

* Date Signed: 06/15/2008

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Application for Federal Assistance SF-424

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

Attachments

AdditionalCongressionalDistricts

File Name

3700-Congressional_Districts.pdf

Mime Type

application/pdf

AdditionalProjectTitle

File Name

Mime Type

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure.)

Approved by OMB

0348-0046

<p>1. * Type of Federal Action:</p> <p><input type="checkbox"/> a. contract</p> <p><input checked="" type="checkbox"/> b. grant</p> <p><input type="checkbox"/> c. cooperative agreement</p> <p><input type="checkbox"/> d. loan</p> <p><input type="checkbox"/> e. loan guarantee</p> <p><input type="checkbox"/> f. loan insurance</p>	<p>2. * Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application</p> <p><input checked="" type="checkbox"/> b. initial award</p> <p><input type="checkbox"/> c. post-award</p>	<p>3. * Report Type:</p> <p><input checked="" type="checkbox"/> a. initial filing</p> <p><input type="checkbox"/> b. material change</p> <p>For Material Change Only:</p> <p>year quarter</p> <p>date of last report</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input checked="" type="checkbox"/> Prime <input type="checkbox"/> SubAwardee Tier if known:</p> <p>* Name: Lockheed Martin Corporation</p> <p>* Address: 9500 Godwin Drive Manassas VA: Virginia 20110</p> <p>Congressional District, if known: VA-010</p>		<p>5. If Reporting Entity in No.4 is Subawardee, Enter Name and Address of Prime:</p>
<p>6. * Federal Department/Agency:</p> <p>n/a</p>	<p>7. * Federal Program Name/Description: Renewable Energy Research and Development</p> <p>CFDA Number, if applicable: 81.087</p>	
<p>8. Federal Action Number, if known:</p> <p>n/a</p>	<p>9. Award Amount, if known:</p>	
<p>10. a. Name and Address of Lobbying Registrant (if individual, complete name):</p> <p>* Name: none - not applicable</p> <p>none-not applicable</p> <p>* Address:</p>	<p>b. Individual Performing Services (including address if different from No. 10a):</p> <p>* Name: none - not applicable</p> <p>none-not applicable</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when the transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>		<p>* Signature: Peter Krone</p> <p>* Name: Mr. Peter Krone</p> <p>Title: Senior Manager, Contracts</p>

	Telephone No.: 703-367-5301 Date: 06-15-2008
Federal Use Only:	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)

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According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

PMC
EF1

(2/06/02)

U.S. DEPARTMENT OF ENERGY
EERE PROJECT MANAGEMENT CENTER
ENVIRONMENTAL CHECKLIST
(To Be Completed by Potential Recipient)

**PART I: General Information**

DOE Project Officer: Gary Nowakowski Date: 6/13/2008

Project Title: Advanced Composite OTEC Cold Water Pipe Project

ST: VA

Organization Name: Lockheed Martin Maritime Systems & Sensors

Solicitation Number: DE-PS36-08GO98030

Award No:

1. Please describe the intended use of DOE funding in your proposed project. For example, would the funding be applied to the entire project or only support a phase of the project? Describe the activity as specifically as possible, i.e. planning, feasibility study, design, data analysis, education or outreach activities, construction, capital purchase and/or equipment installation or modification. If the project involves construction, also describe the operation of the completed facility/equipment.

The AWP Project objectives are to validate cold water pipe (CWP) manufacturing techniques at the prototype and Pilot Plant scales. We shall collect actual construction labor hours and materials to validate cost projections for full-scale cold water pipe manufacturing, and validate the mechanical and environmental characteristics of the composite CWP to withstand ocean environment.

Our proposed project fabricates the required tooling and fixtures needed for the LM proprietary manufacturing method. The tooling is checked out by fabricating sections of CWP on land and refining the procedures and tooling apparatus as necessary. The manufacturing tooling and fixtures and required materials are used to demonstrate CWP manufacturing and deployment on the water while gathering construction labor and material costs. Gathering labor hours and costs to fabricate the CWP provides the information needed to validate cost projections for full-scale production. Non-destructive and destructive testing is performed on test coupons and also on full diameter pipe segments to validate mechanical properties and ability to withstand ocean environment.

The on-water demonstration comprises assembly of tooling & fixturing on barge(s). Fabrication of the CWP is achieved by using pre-pultruded segments as a sandwich core and molding outer and inner layers of composite fiber with vinyl ester resin to form an integrated structure. The approach requires total resin cure so that the cured section can be lowered into the water to allow fabrication of the next section above water.

The proposed effort is stand alone and requires no other resources to complete task objectives. We anticipate conducting further tests on the coupons / segments beyond that funded under this task. Additionally, it should be clear the CWP in itself is a subsystem to a complete Ocean Thermal Energy Conversion power generation plant and therefore is part of a larger effort to commercialize OTEC.

2. Does any part of your project require review and/or permitting by any other federal, state, regional, local, environmental, or regulatory agency? ☐ Yes ☒ No

3. Has any review (e.g., NEPA documentation, permits, agency consultations) been completed?
☐ Yes ☒ No If yes, is a finding or report available and how can a copy be obtained?

4. Is the proposed project part of a larger scope of work? ☒ Yes ☐ No If yes, please describe.
 The proposed effort is stand alone and requires no other resources to complete AWPP task objectives. We anticipate conducting further tests on the coupons / segments beyond that funded under this task. Additionally, it should be clear the CWP in itself is a subsystem to a complete Ocean Thermal Energy Conversion power generation plant and therefore is part of a larger effort to commercialize OTEC.

Do you anticipate requesting additional federal funding for subsequent phases of this project?
☐ Yes ☒ No If yes, please describe.

5. Does the scope of your project only involve one or more of the following:
- ☐ Information gathering such as literature surveys, inventories, audits,
 - ☐ Data analysis including computer modeling,
 - ☐ Document preparation such as design, feasibility studies, analytical energy supply and demand studies, or
 - ☐ Information dissemination, including document mailings, publication, distribution, training, conferences, and informational programs.

Preparer:
William Munslow
Business Contact:
Robert Varley

Phone:
703-367-4569
Phone:
703-367-1955

Email:
william.d.munslow@lmco.com
Email:
robert.varley@lmco.com

PART II: Environmental Considerations

Section A Conditions or special areas are present, required, or could be affected by your project:

3. New or Modified Federal/State Permits And/or Requests for Exemptions

Summersville Lake is operated by the Army Corps of Engineers. Our partner, West Virginia University (WVU) has worked with the COE in the past on projects involving waterways. WVU has received verbal confirmation from COE for this effort. Formal approval will be sought during year 1.

23. Aesthetics

During the demonstration portion of this task, we propose operating a barge(s) on Summersville Lake to fabricate the CWP segment. There may be recreational boaters, fishermen, local land owners who may take exception to the presence of the barge.

Section B. Would your project use, disturb, or produce any chemicals or biological substances? (i.e., pesticides, industrial process, fuels, lubricants, bacteria)

3. Chemical Storage, Use, and Disposal

☐ Permit Required Quantity: Permit Type:

Specific nature of use:

We plan to utilize vinyl ester resin to fabricate a fiberglass reinforced composite structure.

Section C. Would your project require or produce any radiological materials?

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**ADVANCED COMPOSITE OTEC
COLD WATER PIPE PROJECT
Budget Justification**

**Advanced Water Power Projects Funding Opportunity
Announcement Number DE-PS36-08GO98030**

CFDA Number: 81.087

**Proposed under FOA Topic Area #1: Advanced
Water Power Renewable Energy In-water Testing and
Development Projects**

Proposal Submitted By:

**Lockheed Martin
Maritime Systems & Sensors
Undersea Systems
9500 Godwin Drive
Manassas, VA 20110-4157**

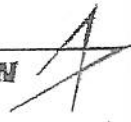



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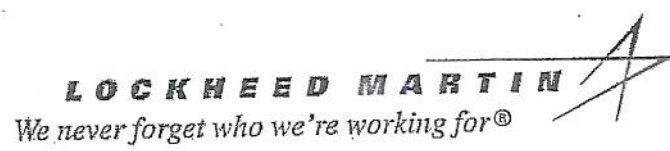
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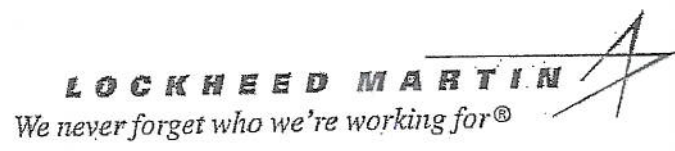
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COST OR PRICING DATA


DISCLOSURE DOCUMENT

for

LOCKHEED MARTIN MARITIME SYSTEMS & SENSORS (MS2)
and
LOCKHEED MARTIN MANASSAS ENGINEERING SERVICES (LMMES)

Manassas, Virginia

"This proposal or quotation shall not be disclosed outside the Government, or the Prime Contractor, and shall not be duplicated, used, or disclosed -- in whole or in part -- for any purpose other than to evaluate this proposal or quotation. If however, a contract is awarded to this offerer or quoter as a result of -- or in connection with -- the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is rightfully obtained from another source without restriction. The data subject to this restriction are contained in all sheets with the restrictive clause printed on the page."

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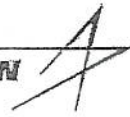
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[Signature]

Task / MBSID	Task ID	Cost Share
19 Program Support	1.1	DOE
28 Program Support	1.1a	LM
29 Program Support	1.1b	LM
20 Program Support	1.2	DOE
21 Program Support	1.2.1	DOE
22 Program Support	1.2.2	DOE
23 Program Support	1.2.3	DOE
24 Program Support	1.2.4	DOE
25 Program Support	1.2.5	DOE
26 Program Support	1.3	DOE
27 Program Support	1.4	DOE
10 Fab Planning	2.2	LM
11 Fab Planning	2.3	LM
12 Fab Planning	2.4	LM
30 Pultrusions	3.1	LM
31 Pultrusions	3.2	DOE
32 Pultrusions	3.3	DOE
33 Pultrusions	3.4	LM
13 Manufacturing Platform	4.1	DOE
14 Manufacturing Platform	4.2	LM
15 Manufacturing Platform	4.3	DOE
16 Manufacturing Platform	4.4	DOE
17 Manufacturing Platform	4.5	DOE
18 Manufacturing Platform	4.7	DOE
1 Assembly / Demo	5.1	LM
2 Assembly / Demo	5.2	LM
3 Assembly / Demo	5.3	LM
4 Assembly / Demo	5.4	LM
9 Assembly / Demo	5.4a	LM
5 Assembly / Demo	5.5	LM
6 Assembly / Demo	5.6	LM
7 Assembly / Demo	5.7	LM
8 Assembly / Demo	5.8	DOE
34 Test / Evaluation	6.1	LM
35 Test / Evaluation	6.1.1	LM
36 Test / Evaluation	6.1.2	LM
37 Test / Evaluation	6.1.3	LM
38 Test / Evaluation	6.2	LM
39 Test / Evaluation	6.2.1	LM
Grand Total		

DOE Cost Share
LM Cost Share

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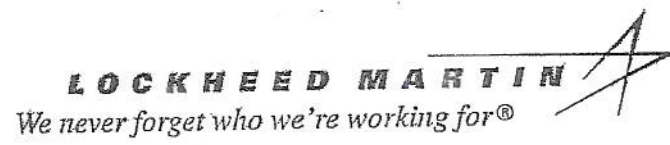


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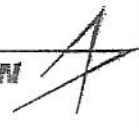
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